

#4  
SAH

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants: DIETER W. POHL ET AL. Docket No.: 01-406

Serial No.: 09/904,286 Examiner : OLSEN

Filed : July 12, 2001 Art Unit : 1744

For : METHOD AND APPARATUS FOR THE  
CONTROLLED CONDITIONING OF  
SCANNING PROBES

900 Chapel Street  
Suite 1201  
New Haven, CT 06510-2802

INFORMATION DISCLOSURE STATEMENT

Hon. Commissioner of Patents and Trademarks  
United States Patent & Trademark Office  
Washington, D.C. 20231

Dear Sir:

In accordance with the requirements of 37 C.F.R. 1.97 and 1.98, Applicants hereby submit the prior art documents listed hereinbelow, copies enclosed, which prior art was cited in the corresponding European Search Report.

- (1) APPLIED PHYSICS LETTERS, American Institute of Physics,  
entitled USE OF SOLID ELECTROLYTIC EROSION FOR GENERATING  
NANO-APERTURE NEAR-FIELD COLLECTORS, By D. Mulin et al.,  
Vol. 71, No. 4, July 28, 1997, pages 437-439.

8-19-02

- (2) OPTICAL SOCIETY OF AMERICA, entitled CHEMICAL SILVER COATING OF FIBER TIPS IN NEAR-FIELD SCANNING OPTICAL MICROSCOPY, By C.S. Vikram et al., Vol. 24, No. 10, May 15, 1999, pages 682-684.
- (3) IBM TECHNICAL DISCLOSURE BULLETIN, entitled IN SITU SHARPENING OF ATOMIC FORCE MICROSCOPE TIPS, Vol. 38, No. 2, February 1, 1995, page 637.
- (4) PATENT ABSTRACTS OF JAPAN, Vol. 1995, No. 11, December 26, 1995, JP 07 198314 A (JEOL LTD), August 1, 1995.
- (5) PATENT ABSTRACTS OF JAPAN, Vol. 018, No. 430, August 11, 1994, JP 06 128800 A (NIKON CORP), May 10, 1994.
- (6) PATENT ABSTRACTS OF JAPAN, Vol. 1999, No. 14, December 22, 1999, JP 11 248720 A (SEIKO INSTRUMENTS INC.), September 17, 1999.
- (7) International Publication No. WO 99/08099, published February 18, 1999. This reference discloses a method for efficient material application onto substrates or removal therefrom, whereby a scanning probe microscope working under atmospheric pressure is used.

(8) U.S. Patent No. 5,908,562 for METHOD FOR PRODUCING OPTICAL FIBER HAVING CORE WITH SHARPENED TIP PROTRUDING FROM LIGHT-SHIELDING COATING, By Motoichi Ohtsu et al., Patented June 1, 1999. This reference discloses an optical fiber made up of a core for propagating the light and a cladding covering the core for interrupting light propagated within the core.

The undersigned submits the above-identified references for independent consideration by the Examiner and does not make any admission that these references are or are not material to the present invention or that these references are or are not prior art with respect to the present invention.

If any charges are required in connection with this submission, it is requested that they be charged to Deposit Account No. 02-0184.

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Commissioner of Patents and Trademarks, Washington, D.C. 20231

on September 11, 2001

<sup>U.S. Postage Paid</sup>  
Antoinette Sullo

Name and Reg. No. of Attorney  
Antoinette Sullo  
Signature  
9-11-01  
Date of Signature

Respectfully submitted,

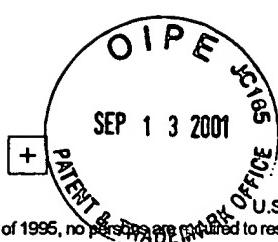
DIETER W. POHL ET AL.

By   
Barry L. Kelmachter  
Attorney for Applicants

Area Code: 203  
Telephone: 777-6628  
Telefax : 865-0297

Date: September 11, 2001

Please type a plus sign (+) inside this box



PTO/SB/08A (08-00)

Approved for use through 10/31/2002. OMB 0651-0031

Under the Paperwork Reduction Act of 1995, no person is required to respond to a collection of information unless it contains a valid OMB control number

Substitute for form 1449A/PTO

## INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(use as many sheets as necessary)

Sheet	2	of	2	Compl t if Known
				Application Number 09/904,286
				Filing Date July 12, 2001
				First Named Inventor DIETER W. POHL
				Group Art Unit
				Examiner Name
				Attorney Docket Number 01-406

OTHER PRIOR ART – NON PATENT LITERATURE DOCUMENTS				
Examiner Initials *	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>	
	1	APPLIED PHYSICS LETTERS, American Institute of Physics, entitled USE OF SOLID ELECTROLYTIC EROSION FOR GENERATING NANO-APERTURE NEAR-FIELD COLLECTORS, By D. Mulin et al., Vol. 71, No. 4, July 28, 1997, pages 437-439.		
	2	OPTICAL SOCIETY OF AMERICA, entitled CHEMICAL SILVER COATING OF FIBER TIPS IN NEAR-FIELD SCANNING OPTICAL MICROSCOPY, By C.S. Vikram et al., Vol. 24, No. 10, May 15, 1999, pages 682-684.		
	3	IBM TECHNICAL DISCLOSURE BULLETIN, entitled IN SITU SHARPENING OF ATOMIC FORCE MICROSCOPE TIPS, Vol. 38, No. 2, February 1, 1995, page 637.		
	4	PATENT ABSTRACTS OF JAPAN, Vol. 1995, No. 11, December 26, 1995, JP 07 198314 A (JEOL LTD.), August 1, 1995.		
	5	PATENT ABSTRACT OF JAPAN, Vol. 018, No. 430, August 11, 1994, JP 06 128800 A (Nikon Corp), May 10, 1994.		
	6	PATENT ABSTRACT OF JAPAN, Vol. 1999, No. 14, December 22, 1999, JP 11 248720 A (SEIKO INSTRUMENTS INC.), September 17, 1999.		

Examiner Signature

Date Considered

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Unique citation designation number. <sup>2</sup> Applicant is to place a check mark here if English language Translation is attached.

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

Please type a plus sign (+) inside this box

SFP 1 3 2001

PTO/SB/08A (08-00)

Approved for use through 10/31/2002. OMB 0651-0031

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

**Substitute for form 1449A/PTO**

**Complete If Known**

## **INFORMATION DISCLOSURE STATEMENT BY APPLICANT**

*(use as many sheets as necessary)*

Sheet 1 of 2 Attorney Docket Number 01-406

## FOREIGN PATENT DOCUMENTS

**Examiner  
Signature**

**Date Considered**

**[REDACTED]** EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Unique citation designation number. <sup>2</sup> See attached Kinds of U.S. Patent Documents. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

**Burden Hour Statement:** This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.